



UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
STATION PLACE
100 F STREET NE
WASHINGTON DC 20549-2465

Office of FOIA Services

September 29, 2023

~~Ms. Spears
2000 17th Street NW
Washington, DC 20036~~

RE: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 23-025-~~XXXXXX~~FOIA

Dear Ms. Spears:

This letter is in response to your request, dated and received in this office on September 15, 2023, in which you asked "how many consumer/investor complaints were filed with the SEC in regard to the U3 Halt of MMTLP" between ~~December 9, 2022~~ and September 15, 2023.

A search for the total number of complaints resulted in 246 complaints received regarding MMTLP.

If you have any questions, please contact me at hansenjo@sec.gov or (202) 551-8377. You may also contact me at foiapa@sec.gov or (202) 551-7900. You may also contact the SEC's FOIA Public Service Center at foiaipa@sec.gov or (202) 551-7900. For more information about the FOIA Public Service Center and other options available to you please see the attached addendum.

Sincerely,

APPENDIX M

Joe. Hansen
FOIA Research Specialist

Enclosures

Pg 1

<
December 8, 2022
Edit
⋮

12:16

10	DOW	51.02	+0.315
11	GS	361.37	+1.445
12	HD	324.01	+3.86
13	HON	214.16	+0.71
14	IBM	148.79	+1.52
15	INTC	28.56	+0.225
16	JNJ	177.25	+0.08
17	JPM	132.46	+0.96
18	KO	63.58	+0.04
19	MCD	272.32	+1.9804
20	MMM	129.31	+2.96

Go
⋮

L/Str

+50.26

+50.04

+50.02

50.01

50.00

Live Help ✕

customer is it possible to ask you to call them and find out?

[10:51:21 AM] Kevin Gipson of Schwab: Please tell me more on what you want to know so I can contact the appropriate team on your behalf.

[10:52:30 AM] Sent: How many shares is schwab ending out on MMTLP?

[11:00:01 AM] Kevin Gipson of Schwab: There are 6.4 million shares out short of the security. We currently have zero shares to short at Schwab.

Orders are prohibited through the Live Help panel.

Clear Conversation
Send
Close

December 8, 2022
11:02

Edit

9	US	92.77	+0.62
10	DOW	50.99	+0.29
11	GS	360.87	+0.95
12	HD	323.90	+3.75
13	HON	213.90	+0.45
14	IBM	148.71	+1.44
15	INTC	28.52	+0.19
16	INJ	177.26	+0.09
17	JPM	152.25	+0.7495
18	KO	63.57	+1.03
19	MCD	272.01	+1.67
20	MMM	129.10	+2.75

Live Help

out short of the security. We currently have zero shares to short at Schwab

[11:00:44 AM] Sent: do a 64 need to close before this thing goes private?

[11:01:32 AM] Kevin Gipson of Schwab: That's up to the people who are short the security. They have the option to close or remain in the position

[11:02:12 AM] Sent: how can you remain in a position that is not DTCC or no electronic trading system is allowed to trade it?

Orders are prohibited through the Live Help panel

Clear Conversation

Send Close